



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/699,036	10/27/2000	Charles P. Bobbitt	5053-30801	6768

7590 10/24/2006

Eric B Meyertons
Conley Rose & Tayon P C
P O Box 398
Austin, TX 78767-0398

EXAMINER

COLBERT, ELLA

ART UNIT	PAPER NUMBER
----------	--------------

3694

DATE MAILED: 10/24/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/699,036

Applicant(s)

BOBBITT ET AL.

Examiner

Ella Colbert

Art Unit

3694

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 24 July 2006.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) See Continuation Sheet is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-7, 9-11, 13-19, 21-30, 32-34, 36-42, 44-57, 59-61, 63-69, 71-73, and 147-152 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

Continuation of Disposition of Claims: Claims pending in the application are 1-7,9-11,13-19,21-30,32-34,36-42,44-57,59-61,63-69,71-73 and 147-152.

DETAILED ACTION

1. Claims 1-7, 9-11, 13-19, 21-30, 32-34, 36-42, 44-57, 59-61, 67-69, 71-73, and 147-152 are pending in this communication filed 07/28/06 entered as Appeals Conference Decision, Rejection Withdrawn.

PROSECUTION REOPENED

2. In view of the notice of appeal filed on 06/26/06, PROSECUTION IS HEREBY REOPENED as set forth here below.

To avoid abandonment of the application, appellant must exercise one of the following two options:

(1) file a reply under 37 CFR 1.111 (if this Office action is non-final) or a reply under 37 CFR 1.113 (if this Office action is final); or,

(2) initiate a new appeal by filing a Notice of Appeal under 37 C.F.R. 41.31 followed by an appeal brief under 37 C.F.R. 41.37. The previously paid notice of appeal fee and appeal brief fee can be applied to the new appeal. If, however, the appeal fees set forth in 37 C.F.R. 41.20 have been increased since they were previously paid, then the appellant must pay the difference between the increased fees and the amount previously paid.

A Supervisory Patent Examiner (SPE) has approved of reopening prosecution by signing on the last page of this Office action in accordance with MPEP 1002.02(d) and 1208.02.

Claim Objections

3. Claims 2, 17, 19, 40, 42, 67, 69, and 147 are objected to because of the following informalities: Claim 2, line 3 recites "from a Financial Services Organization (FSO) transaction-related data in the FSO computer". This line would be better recited as "from Financial Services Organization (FSO) transaction-related data in the FSO computer". Claim 17, line 3 recites "relationship object representation". This line would be better recited as "relationship object representations". Claims 19, 40, 42, 67, 69, and 147 have a similar problem. Appropriate correction is required.

Claim Rejections - 35 USC § 112

4. The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

5. Claims 1, 24 and 51 are rejected under 35 U.S.C. 112, first paragraph, as based on a disclosure which is not enabling. There are steps missing that are considered to be critical or essential to the practice of the invention, but not included in the claim(s) is not enabled by the disclosure. See *In re Mayhew*, 527 F.2d 1229, 188 USPQ 356 (CCPA 1976). Claim 1 recites "displaying at least two processing relationship object representations on a display screen in data communication with a Financial Service Organization (FSO) computer system comprising a database; selecting at least two processing relationship object representations from the displayed processing relationship object representations, preparing a processing relationship definition for

Art Unit: 3694

each of the selected processing relationship object representations, wherein preparing the processing relationship comprises: creating a highest level processing relationship object in a processing structure, wherein the highest level processing relationship object represents an FSO; and creating a plurality of lower level processing relationship objects in the processing structure, wherein the plurality of lower-level processing relationship objects in the processing relationship structure are descendents of the highest level processing relationship object; wherein at least one of the plurality of lower level processing relationship objects represents a company of the FSO, a business unit of the FSO, a bank branch office, a regional bank, a credit card issuer, or an acquirer; and storing each processing relationship definition in the database.

The claim may be written for example as follows: "displaying at least two processing relationship object representations on a display screen in data communication with a Financial Service Organization (FSO) computer system comprising a database; selecting at least two processing relationship object representations from the displayed processing relationship object representations; preparing a processing relationship definition for each of the selected processing relationship object representations; processing the relationship definition for each of the selected processing relationship object representations includes: creating a highest level processing relationship object in a processing structure, wherein the highest level processing relationship object represents an FSO; creating a plurality of lower level processing relationship objects in the processing structure, wherein the plurality of lower-level processing relationship objects in the processing relationship structure are

descendents of the highest level processing relationship object; processing at least one of the plurality of lower level processing relationship objects representing a company of the FSO, a business unit of the FSO, a bank branch office, a regional bank, a credit card issuer, or an acquirer; processing each of the relationship definitions; and storing each of the processing relationship definitions in the database” or “processing the relationship definition; and storing the relationship definition in the database” or “processing the relationship definitions; and storing the relationship definitions in the database”.

Claims 24 and 51 have a similar problem.

Claim Rejections - 35 USC § 112

6. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

7. Claims 18, 19, 42, and 69 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. Claim 18 recites “... identifying a unique object identifier and identifying values for the object properties”. The claim limitation of claim 18 would be better recited as “... identifying one or more values and one or more properties. Claims 42 and 69 have a similar problem.

Claim 19, line 2 recites “relationship definition comprises identifying one or more methods ...”. This line is very vague and unclear as to what Applicants’ mean by “identifying one or more methods”.

Claim Rejections - 35 USC § 103

Art Unit: 3694

8. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

9. Claims 1-7, 9-11, 13-19, 21-30, 32-34, 36-42, 44-57, 59-61, 63-69, 71-73, and 147-152 are rejected under 35 U.S.C. 103(a) as being unpatentable over (US 6,075,851) Pinard et al, hereafter Pinard in view of (US 6,970,844) Bierenbaum – Provisional Priority date of 08/27/99.

As per claims 1, 24, and 51, Pinard teaches, a method, a system, and a carrier medium comprising program instructions for: displaying at least two processing relationship object representations on a display screen in data communication with a Financial Service Organization (FSO) computer system comprising a database(col. 3, lines 47-54 – Fig's 5 and 7 shows a stored organizational chart which is stored in database (19)); selecting at least two processing relationship object representations from the displayed processing relationship object representations (col. 2, line 56-col. 3, line 3 –the organizational chart is detailed in Fig. 2 which shows the processing of at least two object representations "Bill", "Helen", "Joe", and "Fred"); preparing a processing relationship definition for each of the selected processing relationship object representations, wherein preparing the processing relationship comprises: creating a highest level processing relationship object in a processing structure, wherein the highest level processing relationship object represents an FSO (col. 3, lines 4-8 and Fig. 3 – Processing relationship definitions are shown in Fig. 3 that each object can be

selected and assigned telephone number extensions (processing relationship definitions). Other information can be assigned to each and every object, such as which employees are prevented from calling, which are allowed to call and which person is the boss of the employee represented in the object. Fig. 4 further shows relationship definitions (col. 3, lines 9-32); creating a highest level processing relationship object in a processing relationship structure, wherein the highest level processing relationship object represents an FSO; creating a plurality of lower level processing objects in the processing relationship structure, wherein the plurality of lower level processing relationship objects in the processing relationship structure are descendents of the highest level processing relationship object, wherein at least one of the plurality of lower level processing relationship objects represents a company of the FSO, a business unit of the FSO, a bank branch office, a regional bank, a credit card issuer, or an acquirer. In Fig. 2 objects are arranged in a hierarchy, so there is a highest level (Bill) and lower levels (everyone below Bill). The lower levels are descendents of the highest level and the lower levels represent a business unit (employees of the corporation). The other types of entities besides the business unit are optionally recited and thus carry no patentable weight. Pinard does not expressly disclose a Financial Service Organization (FSO) computer system. Bierenbaum discloses a Financial Service Organization (FSO) computer system (col. 9, lines 28-63 –the FSO business modeler is a computer system. Bierenbaum further discloses, storing each processing relationship definition in the database (col. 10, lines 7-37). It would have been obvious to a person having ordinary skill in the art at the time the invention was made to modify the teachings of Pinard to

incorporate the teachings of Bierenbaum in order to have an object-oriented business model represented by an object in the FSO's business model. The business object may have methods and properties associated with it with the information describing the feature of function that may be stored as a business object as properties of the business object. The storage of each object is in the business model database (col. 10, lines 9-15).

Claim 24, Pinard discloses, a computer program (col. 4, lines 16-23); a computer system (col. 2, lines 50-52); the computer program is executable on the computer system (col. 4, lines 17-23).

This independent claim is rejected for the similar rationale as given above for claim 1.

Claim 51, Pinard discloses, displaying at least two processing relationship object representations on a display screen in data communication with a Financial Service Organization (FSO) computer system comprising a database (col. 4, lines 17-23); selecting at least two processing relationship object representations from the displayed processing relationship object representations (col. 4, lines 34-38 –display screen and col. 2, lines 50-60, Fig. 1 and Fig. 5 (19)).

This independent claim is rejected for the similar rationale as given above for claims 1 and 24.

As per claims 2, 25, and 52, Pinard failed to disclose, wherein each processing relationship definition stored in the database is configured for use in preparing a processing relationship value from an FSO transaction-related data in the FSO

Art Unit: 3694

computer system. Bierenbaum discloses, wherein each processing relationship definition stored in the database is configured for use in preparing a processing relationship value from an FSO transaction-related data in the FSO computer system (col. 9, line 28-42, col. 17, lines 8-21, Fig. 2a, and Fig. 13). It would have been obvious to one having ordinary skill in the art at the time the invention was made to have each processing relationship definition stored in the database is configured for use in preparing a processing relationship value from an FSO transaction-related data in the FSO computer system and to modify in Pinard because such a modification would allow Pinard to have financial data tables for financial transactions and accounting categories (values).

As per claims 3, 26, and 53, Pinard failed to disclose, wherein the processing relationship value is configured for use in identifying an FSO business entity as an owner of the FSO transaction-related data. Bierenbaum discloses, wherein the processing relationship value is configured for use in identifying an FSO business entity as an owner of the FSO transaction-related data (col. 17, line 62-col. 18, line 10). It would have been obvious to one having ordinary skill in the art at the time the invention was made to have the processing relationship value configured for use in identifying an FSO business entity as an owner of the FSO transaction-related data and to incorporate the teachings of Bierenbaum in Pinard because this would allow Pinard to have user objects that grant the user (owner) of the transaction-related data rights to that data so the owner can view, modify, or act upon the customer transaction.

As per claims 4, 27, 54, 147, and 150, Pinard discloses, wherein the FSO business entity is a company or a business unit or a bank branch office or a regional bank or a credit card line or an issuer or an acquirer. In Fig. 2 of Pinard shows a business entity as a company and a business unit (see col. 2, line 62-col. 3, line 3 and lines 27-32).

As per claims 5, 28, 55, and 149, Pinard discloses, wherein the selecting one or more processing relationship object representations is performed by a user of the FSO computer system (col. 4, lines 16-39 –Fred first types a command into a personal computer shown in Fig. 6 as "> Call My Group". The user agent looks up the names of Fred's group and they are displayed on Fred's screen of his personal computer then he can select who he wants to call. This reads on claim limitation 5).

As per claims 6, 29, and 56, Pinard discloses, wherein the selecting one or more processing relationship object representations is programmable or executable by an expert system (col. 4, lines 16-23 –shows an application program which is considered executable running on the LAX).

As per claims 7, 30, and 57, Pinard discloses, wherein the storing the processing relationship definition in the database comprises transferring the processing relationship definition to a report record definition stored in the database (col. 4, lines 40-48 and lines 56-65).

As per claims 9, 32, 59, and 152, Pinard discloses, wherein the processing relationship structure is expanded by inserting one or more processing relationship objects as descendants of the highest level processing relationship object (col. 2, line 56-col. 3, line 3 and Fig. 2- shows where one or more relationship objects are

descendents of the highest level processing relationship object can be inserted after "David").

As per claims 10, 33, and 60, Pinard discloses, wherein the processing relationship structure is edited by inserting or deleting one or more processing relationship objects, wherein each of the one or more processing relationship objects are descendents of the highest level processing relationship object (col. 1 lines 31-37 and lines 44-55 – automatically updating is considered a form of editing- adding, deleting, and changing).

As per claims 11, 34, 61, 148, 151, Pinard discloses, wherein the displaying one or more processing relationship object representations on a display screen comprises displaying values associated with a sequence number and a level number.(Fig. 3 – shows displayed values in a sequence number for the lower level processing objects and the name identifies a level number in the processing relationship structure beginning with the name Helen, Joe, or Fred (lower level processing objects)).

As per claims 13, 36, and 63, Pinard discloses, wherein the displaying one or more processing relationship object representations on a display screen comprises displaying values associated with an object name, an object description and an object number for a displayed processing relationship object (col. 3, lines 4-8, col. 4, lines 4-15 and line 56-col. 5, line 12, and Fig. 3 –shows an object name and an object number and Fig. 8 shows an object name and an object number and object description)).

As per claims 14, 37, and 64, Pinard discloses, wherein the object name identifies a unique name assigned to an object (col. 3, lines 27-32 –Fred (name –My Boss- unique name)).

As per claims 15, 28, and 65, Pinard discloses, wherein the database is relational or object oriented (col. 2, line 56 and line 57 –relational database).

As per claims 16, 39, and 66, Pinard failed to disclose, wherein the selecting a first processing relationship object representation from one or more processing relationship object representations comprises positioning a cursor of an user input device above the first processing relationship object representation and clicking a button of the user input device. Bierenbaum discloses, wherein the selecting a first processing relationship object representation from one or more processing relationship object representations comprises positioning a cursor of an user input device above the first processing relationship object representation and clicking a button of the user input device (col. 14, lines 55-col. 15, line 12). It would have been obvious to one having ordinary skill in the art at the time the invention was made to have the selecting of a first processing relationship object representation from one or more processing relationship object representations comprises positioning a cursor of an user input device above the first processing relationship object representation and clicking a button of the user input device and to modify the teachings of Pinard by the incorporation of the teachings of Bierenbaum because such a modification would allow Pinard to display a representation of the business model on the display screen and the system 10 (Bierenbaum reference) may also include one or more user input devices 52 such as a keyboard for entering data or commands and one or more cursor control devices 54 such as a mouse for using a cursor to modify a business model viewed on a display screen.

As per claims 17, 40, and 67, Pinard discloses, wherein the preparing a processing relationship definition comprises creating or editing an object associated with each of the selected processing relationship object representation (col. 1, lines 44-55 and col. 4, lines 56-65).

As per claims 18, 41, and 68, Pinard discloses, wherein the creating the object comprises identifying a unique object identifier and identifying values for the object properties (col. 3, lines 4-8 and lines 27-32, col. 4, lines 4-15 and line 56-col. 5, line 12).

As per claims 19, 42, and 69, Pinard discloses, wherein the preparing a processing relationship definition comprises identifying one or methods and one or more properties of an object associated with each of the selected processing relationship object representation (col. 2, lines 56-65 –discloses a processing relationship definition (roles) and (names) of reporting structures, id of groups (properties of object ... selected processing relationship object representations).

As per claims 21, 44, and 71, Pinard failed to disclose, wherein the processing relationship object representations comprises an icon displayed on the display screen of the FSO computer system. Bierenbaum discloses, wherein the processing relationship object representations comprises an icon displayed on the display screen of the FSO computer system (col. 17, lines 22-41). It would have been obvious to one having ordinary skill in the art at the time the invention was made to have the processing relationship object representations comprises an icon displayed on the display screen of the FSO computer system and to modify Pinard with the teachings of Bierenbaum

because such a modification would allow Pinard to have a document presented to an employee of the FSO or to a customer graphical objects such as icons.

As per claims 22, 45, and 72, Pinard discloses, wherein a user of the FSO computer system executes a processing relationship configuration program to prepare the processing relationship definition (col. 4, lines 16-23).

As per claims 23, 46, and 73, Pinard discloses, wherein the user of FSO computer system executes a processing relationship configuration program to reconfigure and store in the database the processing relationship definition in response to changing business conditions (col. 4, lines 25-55).

As per claim 47, Pinard discloses, wherein the computer system comprises a display device coupled to the computer system to display data (col. 4, lines 34-38).

As per claim 48, Pinard discloses, The system of claim 47, wherein the display device is a display screen (col. 4, lines 34-38).

As per claim 49, Pinard discloses, wherein the computer system comprises a user input device coupled to the computer system to enter data (col. 4, lines 19-23).

As per claim 50, Pinard discloses, wherein the user input device is a mouse or a keyboard (Fig. 1 (9 & 11) shows a computer and a keyboard (input device)).

Conclusion

7. The prior art made of record and not relied upon is considered pertinent to applicants' disclosure.

Moore et al (US 5,950,192) disclosed relational database management.

Art Unit: 3694

Bezek et al (US 5,615,309) disclosed a computer system with fields.

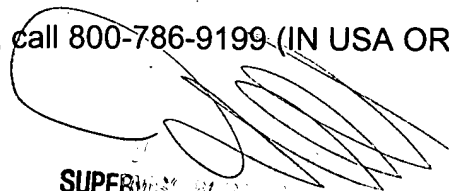
Ryu et al (US 5,513,348) disclosed a data retrieval system for a relational database.

Inquiries

8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Ella Colbert whose telephone number is 571-272-6741. The examiner can normally be reached on Monday, Tuesday, and Thursday, 5:30AM-3:00PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Trammell can be reached on 571-272-6712. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.


SUPERVISOR
October 14, 2006


ELLA COLBERT
PRIMARY EXAMINER